

 <div style="text-align: center;"> <b>STATE OF ALASKA</b>  <b>DEPARTMENT OF TRANSPORTATION</b>  <b>AND PUBLIC FACILITIES</b> </div> <div style="text-align: center; font-size: 1.5em; font-weight: bold;">Policy and Procedure</div>		POLICY AND PROCEDURE NUMBER <b>10.01.021</b>	PAGE  1 of 5
		EFFECTIVE DATE March 15, 2000	
SUBJECT <b>Requesting Commodities, Services, Materials, Parts and Equipment; Filling Request</b>		SUPERSEDES	DATED
TITLE <b>Procurement and Property</b>	CHAPTER  <b>General Procurement</b>	APPROVED BY	

## PURPOSE AND SCOPE

To establish uniform methods and procedures for DOT/PF employees to follow when requesting commodities, services, materials, parts, and equipment required for their operational needs.

## PROCEDURE

### A. Stock Requests *(also may be referred to as "Requisitions")*

1. Requests for commodities, services, materials, parts, and equipment shall be submitted to the nearest procurement office on a Stock Request, Form 02-303 SW (or with an on-line Requisition via an automated procurement system). Requests for parts and equipment purchased by the State Equipment Fleet are to be sent to the nearest State Equipment Fleet office. Exceptions are identified in DPDR 10.01.011, Small Procurements.
2. Stock Requests authorize the expenditure of or obligate the requesting office's funds and must be coded and signed by an authorized approving official for the requesting office.
3. The request must contain complete specifications of the item(s), commodity (ies), or service(s) required. Procurement Offices may return requests which do not contain sufficient information.
4. Department Procurement Personnel are the only individuals authorized to solicit or obtain binding competitive price quotations. Requesters may contact a vendor to establish an "estimated cost," but should make it clear that they are not requesting a binding quotation. In certain cases, at the discretion of the Procurement office, requesters may be authorized to obtain price quotations. The Procurement Office must verify all quotes submitted with a Stock Request (requisition).

## **B. Approving Officials**

1. Each Division Director will develop a list of “approving officials” for their area of responsibility. This list will be provided to the Regional Procurement Officers.
2. The official approving the Stock Request or Requisition is responsible for ensuring that appropriate and sufficient funds are available to cover the purchase prior to approving it.

## **C. Warehouse Inventory**

1. The department purchases common use supplies in bulk quantities and keeps them in inventory in regional warehouses.
2. Department policy requires that supplies available from warehouse inventory be used in lieu of purchasing them individually on the open market. This includes purchases with the PCARD unless there are extenuating circumstances.
3. When ordering items that are stocked in warehouse inventory, do not include other items on the same Stock Request. This results in double handling for the Procurement Office and the possibility of a duplicate order.
4. Contact the Regional Procurement Office for a listing of supplies available in the warehouse inventory.

## **D. Computers, Accessories, and Software**

All requests for computers, computer accessories, or software must be routed through Information Systems (IS) for approval prior to being sent to the Procurement Office. See DPDR 02.03.010 for the procedure. Requests that are submitted without the required IS approval will be returned without action.

## **E. Fragmentation**

1. Stock requests may not be fragmented to avoid solicitation requirements, (i.e., submitting multiple stock requests to keep the dollar amount of the purchase within the limits for the various levels of Small Procurements).
2. Fragmenting requests may result in disciplinary action and is also punishable under Alaska Statute (AS) 36.30.930.

- a. AS 36.30.930 states that a person who contracts for or purchases supplies, equipment, services, professional services, or construction services in a manner the person knows to be contrary to the requirements of the Procurement Code, or the regulations adopted under the Procurement Code, is liable for all costs and damages to the state arising out of the violation.
  - b. AS 36.30.930 also states that a person who intentionally or knowingly contracts for or purchases supplies, equipment, services, professional services, or construction services under a scheme or artifice to avoid the requirements of the Procurement Code is guilty of a class C felony.
3. When it becomes apparent that an individual or section is submitting multiple requests solely to stay within the various limits for Small Procurements, the Procurement Office will follow the procedures outlined in DPDR 10.01.011, Small Procurements.

**F. Filling the Request**

1. Upon receipt of a properly completed and approved Stock Request (Requisition), the procurement official will first ascertain whether or not the item(s) requested are available from existing warehouse stocks. If the request can be filled from existing stocks, the warehouse will process the order.
2. If the request contains items that are not carried in inventory, the procurement official will proceed to make the procurement in accordance with DPDR 10.01.011. The procurement official will arrange to have the order delivered to the point indicated on the stock request form.

**G. Preparation of the Stock Request (Form 02-303 SW) See Attachment A.**

1. **Name of Requesting Office:** Enter the name of the requesting office.
2. **Phone:** Enter the phone number of the requester.
3. **Ship To:** Enter the physical address where the goods are to be delivered and to whose attention. This must be a location within Alaska, unless you submit justification as to why a delivery destination outside Alaska is in the State's best interest. (AS 36.30.331)
4. **Requesting Office Order No.:** Enter the stock request sequence number assigned to the requesting office.
5. **Date of Request:** Enter the date of the request.
6. **Date Required:** Enter the requested delivery date. Give a reasonable date (do not use "ASAP") and please plan ahead.
7. **Financial Coding:** Enter the complete financial code or codes the goods are to be charged to, including the account code or an encumbrance (EN) number (EN preferred). The request may be returned if the code is incomplete.

8. **Total Estimated Cost:** Enter an estimated cost.
9. **Shipping Instructions:** Enter the preferred shipping method - priority mail, airfreight, cheapest way, fastest way, etc. If nothing is indicated in this space, the procurement official will arrange delivery using the most economical method of delivery.
10. **Item Number:** Enter the item number, 1, 2, etc.
11. **Quantity:** Enter the number of units requested.
12. **Unit:** Enter the unit requested such as, each, dozen, pounds, ton, etc. Do not enter an ambiguous term like "box" or "case" unless you also include the size of the box or case. E.G.: "box, 100 each per box"; or "case, 10 boxes per case, 100 each per box."
13. **Description:** Enter as much information as possible to effectively describe exactly what is being requested. The request should contain complete specifications for the item, commodity, or services required. If the description is incomplete or vague, the Stock Request may be returned for clarification or additional information.

Examples:

- a. a. If you are ordering sand or aggregate, list the Alaska Standard Highway Specification or AASHTO number; if a special material is required, indicate the specification to which the material must conform; and if a component part is being ordered, provide the make, model, and year of the end item.
  - b. b. If you include a manufacturer's part number or catalog number, you also need to include the manufacturer's name, catalog number or date, etc. Otherwise it is very difficult and time consuming to identify the items you are specifying.
  - c. c. Use of the terms "no substitute," "sole source," or "single source" is discouraged. However, if your need requires the use of any of these terms, please first refer to DPDR 10.01.011 (Small Procurements) and DPDR 10.01.040 (Alternate Procurements) for the procedures and requirements for these types of purchases. Additional justification and processing action will be required.
  - d. d. If you know the item(s) are in stock in the regional warehouse, please include the warehouse item number. When ordering items that are stocked in the warehouse inventory, do not mix them on the same Stock Request with items that have to be purchased on the open market.
14. **Unit Cost:** Enter the estimated or actual cost if available.
  15. **Extended Cost:** Multiply the unit cost by the quantity and enter the result.
  16. **Signature of Requester & Date:** The employee making the request should legibly sign and date this block. The requester's name should be typed or clearly printed above the signature block on the stock request.
  17. **Approved By & Date:** The employee authorized to approve the request must sign and date this block. The approving official's name should be typed or clearly printed above the signature block on the stock request.
  18. All information on the Stock Request form must be completed with adequate information and in a legible manor or processing delays will occur.

## **DISTRIBUTION**

All holders of the Policy and Procedure Manual.

## PO AND PROCEDURE MANUAL

**Attachment A**

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